Smile

The SMILE Diversity Audit Model

Preliminary Self-Assessment Tool

Carme ROYO, Diana TREVINO | Beate HÖRR
EUCEN | Johannes Gutenberg University Mainz

INTRODUCTION

Welcome to the SMILE Self-Assessment tool on diversity and inclusion!

This self-assessment tool forms part of the SMILE Audit Model on Diversity. If you are reading this document, it is probably because you are considering to run an audit in your institution. Answering this self-assessment questionnaire in an honest way will help you to decide how to plan your audit on diversity. This self-assessment tool will help you identify your institution's strengths and growth areas in learning related to diversity and inclusion.

This self-assessment is divided in two parts and five different areas of work:

PART 1

   A. Diversity and Inclusion Principles
   B. Diversity and Inclusion Practices

PART 2

   C. Access Initiatives
   D. Communication and Advocacy
   E. Community and Commitment

Please remember that this is simply a tool. This is not a test. The rating scale in Part 2 is there to help you identify areas of strength and areas that need further development in your institution. This will help you to decide which content to discuss in the audit that you will organise in a more effective way.

HOW TO USE THE SELF-ASSESSMENT TOOL?

Please, fill in the Self-Assessment tool following the indications that you will find in this document. The tool is divided in two parts:

- **Part 1** will determine which scenario to apply in your audit sessions.

- **Part 2** will help you identify which working areas need more work at your institution, so you can focus on those areas in your sessions, especially when filling in your Action Plan.

Look at *Figure 1* below. Notice how the process works. Whatever mark you obtain at the beginning, if you are interested in the topic and want your institution to work more on diversity and inclusion, you will end up in the same final place.

SELF-ASSESSMENT TOOL

If the number of statements where you mark "Unknown" is superior to 8

If the number of statements where you mark "Yes" is below 10

If you have marked "Yes" in more than 10 statements

Identify someone who might know about diversity and inclusion in your institution

You are ready for Scenario "Let's Start!"

You are ready for the Scenario "Let's Progress!"

Meet with this person and fill in again Part 1 of the Self-Assessment tool

Fill in Part 2 of the Self-Assessment tool and observe which aspects need more attention

Fill in Part 2 of the Self-Assessment tool and observe which aspects need more attention

Go back to the beginning and see which scenario you have to follow

Plan your "Let's Start!" sessions. Follow the indications given in Scenario 1

Plan your "Let's Progress!" sessions. Follow the indications given in Scenario 2

Plan your future follow-up session, more focused on a specific Pillar using the indications given in Scenario 2

Plan your future follow-up sessions working on other Pillars or areas that need development
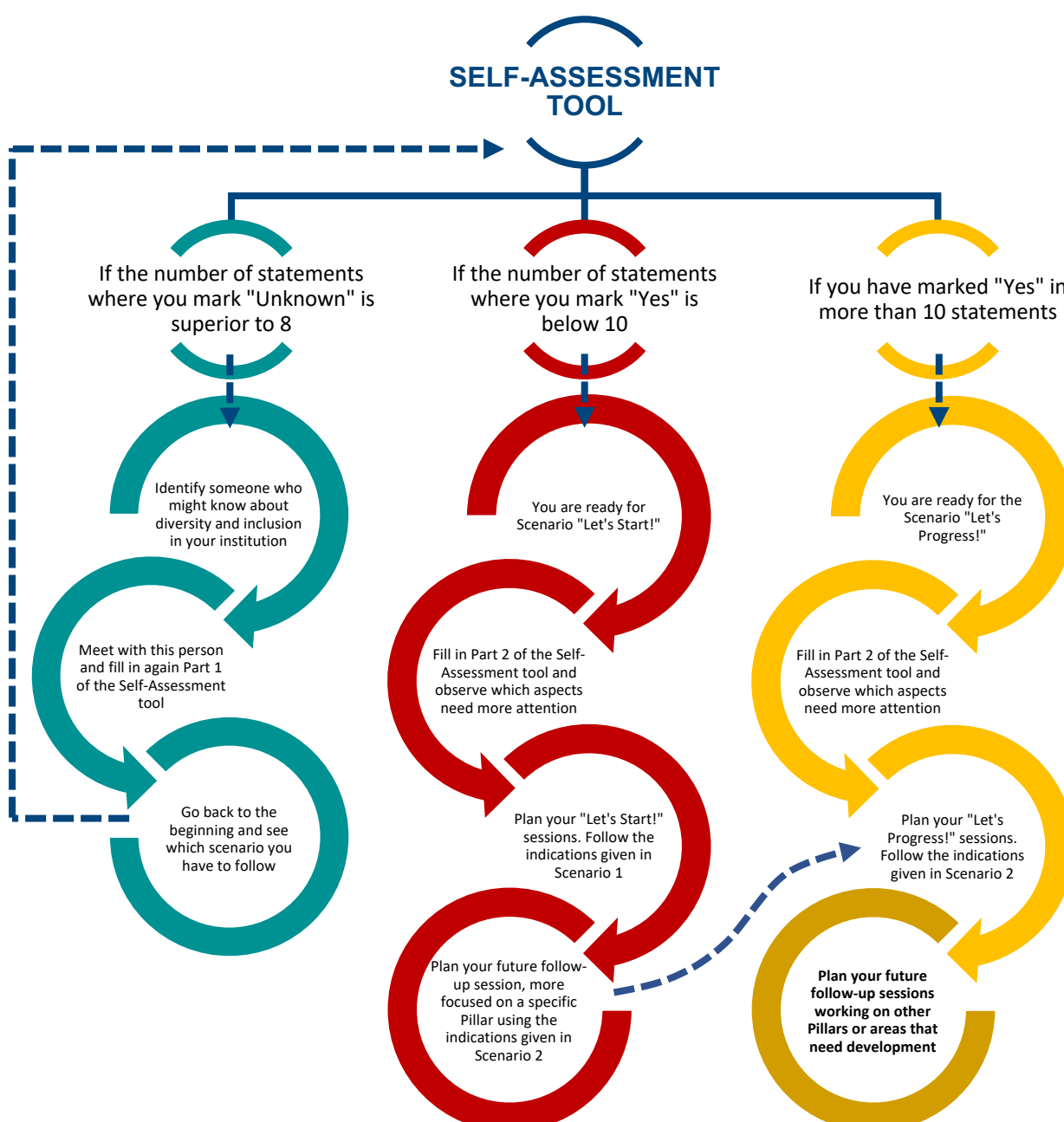
Figure 1 - Process for the use of the Audit Model tools

Only one more recommendation before you start filling in the Self-Assessment tool:

You need to be honest when filling in this form. Do not worry about the result – this is an internal tool that does not need to be shared with anyone. The SMILE tools can help your institution to reach the objectives that you want to achieve in the area of **diversity and inclusion**.

Let´s start with the Self-Assessment!

SELF-ASSESSMENT

Please answer "Yes" or "No" to each of the statements listed below. At the end of each area of work, count how many "yes" you have ticked.

PART 1 | Working areas A and B

AREA OF WORK 'A': Diversity and Inclusion Principles

A1. Your institution has an official definition and understanding of diversity and inclusion.

☐ YES   ☐ NO   ☐ Unknown

A2. Your institution has a diversity and inclusion policy available to all staff and students.

☐ YES   ☐ NO   ☐ Unknown

A3. Your institution has agreements with local/regional authorities that are responsible to fostering inclusion and diversity.

☐ YES   ☐ NO   ☐ Unknown

A4. Your institution has a diversity and inclusion steering committee responsible to ensuring implementation.

☐ YES   ☐ NO   ☐ Unknown

A5. Your institution defines and formalises responsibilities of university management, deans, and the diversity and inclusion steering committee in relation to the topic.

☐ YES   ☐ NO   ☐ Unknown

A6. Your institution is focusing on specific areas of inclusion and diversity.

☐ YES   ☐ NO   ☐ Unknown

Count how many "Yes" you have ticked in this Area of Work and write it in the orange box	

Smile

AREA OF WORK 'B': Diversity and Inclusion Practices

B1. Your institution has a recruitment policy that makes diversity backgrounds of the candidate(s) not relevant for the successful candidate(s).

☐ YES   ☐ NO   ☐ Unknown

B2. Your institution has a diversity and inclusion set of goals and deliverables included in the strategic plan.

☐ YES   ☐ NO   ☐ Unknown

B3. Your institution rewards those members of staff who dedicate time and energy to learn about the qualities and attributes from diverse groups.

☐ YES   ☐ NO   ☐ Unknown

B4. Your institution has implemented specific programmes and outreach initiatives to target diverse employees.

☐ YES   ☐ NO   ☐ Unknown

B5. Your institution involves all departments, faculties, and central departments in implementing diversity management concepts.

☐ YES   ☐ NO   ☐ Unknown

B6. Your institution undertakes student and staff surveys/satisfaction monitoring's related to the diversity and inclusion concept.

☐ YES   ☐ NO   ☐ Unknown

B7. The inclusion and diversity measures for cultural change in your institution of higher education are successful.

☐ YES   ☐ NO   ☐ Unknown

Count how many "Yes" you have ticked in this Area of Work and write it in the orange box	

HOW TO PROCEED NOW?

You have completed Part 1 of the self-assessment tool. Please, look at the answers that you have marked in the working areas A and B. Count the times that you have selected the option "Unknown". **If you have chosen "Unknown" more than 8 times in total, you need to stop here.** We suggest you to identify someone in your institution that can help you fill in this self-assessment again. It could be a member of the governing body of your institution, someone from the social inclusion and diversity unit, or even someone from the students' welfare office. Once you know who to talk to, plan a meeting, seat together and fill in the self-assessment tool with him/her. Then, with the new set of results in your hands, you can continue reading.

Please, make sure that you have counted the number of "Yes" marked in each working area. Now please **add-up** the number of "Yes" that you have ticked in working areas **A and B**.

- In case **your score is below 10**, do not worry. Your institution is at the beginning of a journey, and you can start now planning the way you do the journey with the SMILE tools. You should use **Scenario 1 "Let's Start!"** for your audit sessions. Please go to page 14 to get some help and recommendations.

- If you have a **score superior to 10**, that means that your institution is already doing work in the area of diversity and inclusion. You do not need to plan your audit starting from scratch. We suggest you to use **Scenario 2 "Let's Progress!"** for your audit sessions. Please go to page 14 to read more about this approach.

But before you plan your sessions, you should complete the self-assessment tool. Please continue answering **Part 2 (working areas C to E)** now. The output of Part 2 will help you identify which aspects of diversity and inclusion have not been addressed in your institution. This information will be very useful for you when planning your audit sessions and when working on the Action Plan.

PART 2 | Working areas C, D and E

Please rank the following statements from 1 to 6.
Consider 1 as "*I do not agree*"
Consider 6 as "*I fully agree*".
Mark with an "X" the box with your answer as shown in the example.

> SAMPLE. You are interested in "Diversity and Inclusion".
>
> | 1 | 2 | 3 | 4 | 5 | 6 |
> |---|---|---|---|---|---|
> | | | | | | X |

AREA OF WORK 'C': Access Initiatives

C1. Your institution always finds ways to open access to individuals that belong to minority groups.

1	2	3	4	5	6

C2. Your institution provides programmes to facilitate disadvantaged students transition to higher education are successful.

1	2	3	4	5	6

C3. Your institution always helps students from minority groups to succeed with their studies.

1	2	3	4	5	6

C4. Your institution has found the way to offer and apply flexible learning pathways to students who need it.

1	2	3	4	5	6

C5. Your institution offers VPL modality of studies.

1	2	3	4	5	6

C6. Your institution offers accommodation aid, support for visa process or other similar help to students who need it, so they can continue with their studies.

1	2	3	4	5	6

C7. Your institutional diversity and inclusion-oriented access programms reduce or eliminate barriers to enter higher education.

1	2	3	4	5	6

How many questions have you answered with a score below 4?	

AREA OF WORK 'D': Communication and Advocacy

D1. Your institution has an internal and external Public Relations strategy to promote the diversity and inclusion management approach, via institutional website, press releases.

1	2	3	4	5	6

D2. Your internal and external institutional communication concept to promote inclusion and diversity management is successful.

1	2	3	4	5	6

D3. Your institution is providing open access documents and media to promote and disseminate the inclusion and diversity concept (e.g. flyers, leaflets, videos, guidelines).

1	2	3	4	5	6

D4. Your institution provides material on the topic of inclusion and diversity in accessible formats for individuals with disabilities.

1	2	3	4	5	6

D5. Your institution sensitizes staff and students via trainings or campaigns on the topic of inclusion and diversity.

1	2	3	4	5	6

D6. Your institution advocates internally and externally for any and all needed changes that aid in making every person feel welcome, wanted, and valued.

1	2	3	4	5	6

D7. Your institution promotes the belief that diversity and inclusion enriches the lives of the people and staff.

1	2	3	4	5	6

How many questions have you answered with a score below 4?	

AREA OF WORK 'E': Community and Commitment

E1. Your institution is proactive in diversity and inclusion-oriented community outreach activities.

1	2	3	4	5	6

E2. Your institution is engaged in establishing long-lasting diversity and inclusion-oriented community outreach activities.

1	2	3	4	5	6

E3. Your institution involves voices of underrepresented individuals in developing specific inclusion and diversity management processes.

1	2	3	4	5	6

E4. Your institution`s governing body which covers the different levels of top management can easily describe why inclusion and diversity is important.

1	2	3	4	5	6

E5. Your institution measures the awareness of the staff and students in relation to the diversity and inclusion policies.

1	2	3	4	5	6

E6. Your institution actively involves civil society and NGOs to ensure that minority groups have equitable access programmes.

1	2	3	4	5	6

E7. Your institution has long-term relationships with key civil society and NGOs working with marginalized groups.

1	2	3	4	5	6

How many questions have you answered with a score below 4?	

How to start now working with the results?

Now you have identified the Scenario that you need to use (through the score obtain doing the working areas A and B). The table below describes the next steps for each scenario:

SCENARIO 1 **Let's Start!**	SCENARIO 2 **Let's Progress!**

If you see that after answering to statements under A and B you have a mark below to 10, then you are recommended to apply this scenario. Before you start planning your session, you need to answer the questions under C, D and E. The results will give you information about areas that you need to address when preparing part (iv) and the Action Plan (v).
 	
  i. Do the ice-breaking session during a "welcome coffee" break at the beginning, while participants arrive
  ii. Start the session with 20 min discussion about 2 fundamental questions
  iii. Explore 2-4 intersectional questions during 40 min
  iv. Work on the Action Plan during 50 min
  v. Fill in the feedback form (can be printed out and distribute, or the link can be shared, but participants should fill in the form in 10 min at the end before leaving)
	If you have a good ranking on statements under A and B (superior to 10), then you can skip the first part of the audit and apply this scenario. Before you start planning your session, you need to answer the questions under C, D and E. The results will give you information about areas that you need to address when preparing the Action Plan.
	
	Preparing the session:
	  i. Focus on the pillars of the model: which of these pillars do you think is the more important at this moment for your institution?
	Session:
	  ii. Do the ice-breaking session during a "welcome coffee" break at the beginning, while participants arrive
	  iii. Do the questions of the selected pillar with 45 min discussion
	  iv. Work on the Action Plan during 50 min
	  v. Fill in the feedback form (can be printed out and distribute, or the link can be shared, but participants should fill in the form in 10 min at the end before leaving)

You also know which aspects of diversity and inclusion are less addressed at your institution thanks to the working areas C to E.

You have all the information you need to plan your sessions and you know the aspects you need to focus on as well.

We encourage you now to use The SMILE Diversity Audit Model. The audit model will guide you through the scenarios (section 3.2) and provides you with information about additional follow up sessions to ensure the long-term implementation of inclusion and diversity measures you want to foster in your institution (section 5).

The SMILE Preliminary Self-Assessment Tool

Test yourself to sense the level of commitment and engagement that your institution has in the area of Diversity and Inclusion: the **SMILE Preliminary Self-Assessment Tool** can be your first step to plan a better strategy to have a more inclusive community.